

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

| | | |
|---|---|------------------------------------|
| ----- | | X |
| JENNIFER SHARKEY, | : | |
| | : | |
| Plaintiff, | : | Civil Action No.: 10-cv-3824 (RWS) |
| | : | |
| v. | : | |
| | : | |
| J.P. MORGAN CHASE & CO., JOE KENNEY, | : | |
| ADAM GREEN, and LESLIE LASSITER, in | : | |
| their official and individual capacities, | : | |
| | : | |
| Defendants. | : | |
| ----- | | X |

Plaintiff Jennifer Sharkey (“Ms. Sharkey”) and Defendants J.P. Morgan Chase & Co., Joe Kenney, Adam Green and Leslie Lassiter (collectively, “Defendants”) (Ms. Sharkey and Defendants, together, the “Parties”), jointly submit the following pre-trial order (“JPTO”) pursuant to Rule 3(A) of the Individual Rules and Procedures of the Honorable Robert W. Sweet and the Court’s Order of September 30, 2016. The Parties respectfully request that they be permitted to supplement or modify this JPTO as may be necessary or appropriate.

i. The full caption of the action.

Sharkey v. J.P. Morgan Chase & Co., Joe Kenney, Adam Green and Leslie Lassiter, in their official and individual capacities, 10 Civ. 3824(RWS) (S.D.N.Y. 2010).

ii. The names, law firms, addresses, and telephone and fax numbers of trial counsel.

Plaintiff Jennifer Sharkey is represented by:

WIGDOR LLP
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Defendants J.P. Morgan Chase & Co., Joe Kenney, Adam Green and Leslie Lassiter are represented by:

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iii. A brief statement as to the basis of subject matter jurisdiction, and a brief statement by each other party as to the presence or absence of subject matter jurisdiction. Such statements shall include citations to all statutes relied on and relevant facts as to citizenship and jurisdictional amount.

This Court has subject matter jurisdiction over this matter pursuant to 28 U.S.C. §§ 1331, as this action involves federal questions regarding the alleged deprivation of Plaintiff's rights under Section 806 of the Sarbanes-Oxley Act of 2002, 18 U.S.C. § 1514A.

- iv. **A brief summary by each party of the claims and defenses that party has asserted which remain to be tried, without recital of evidentiary matter but including citations to all statutes relied on. Such summaries shall identify all claims and defenses previously asserted which are not to be tried.**

The only claim to be tried is Plaintiff's claim for unlawful retaliation in violation of Section 806 of the Sarbanes-Oxley Act of 2002, 18 U.S.C. § 1514A. The initial Complaint in this action asserted a claim for breach of contract. Dkt. No. 1. This claim was dismissed by the Court on January 14, 2011, and will not be tried. Dkt. No. 16.

Defendants' Answer asserted the affirmative defense that the Court lacks subject matter jurisdiction over this matter. However, the Parties are in agreement that the Court does have subject matter jurisdiction over this matter, and this defense will not be tried.

Plaintiff's Summary

Plaintiff contends that there is one affirmative defense that remains to be tried; namely, that Plaintiff's claims are barred in whole or in part by virtue of the fact that Plaintiff would have been terminated regardless of the alleged protected activity. Defendants' Answer also asserted an affirmative defense that the Complaint fails to state a claim. This defense also will not be tried, as Defendants' motion to dismiss the Amended Complaint for failure to state a claim was denied on August 19, 2011 (*i.e.*, the defense has already been "tried" before Your Honor and rejected). Finally, Defendants' motion for leave to amend their Answer, referenced below, must be denied for the reasons explained in Plaintiff's opposition brief, Dkt. No. 128.

Defendants' Summary

Defendants assert that there are two affirmative defenses that remain to be tried; namely, that (i) Plaintiff's claims are barred in whole or in part by virtue of the fact that Plaintiff would have been terminated regardless of the alleged protected activity, and (ii) Plaintiff has failed to state a cause of action. As of the date the JPTO is submitted, Defendants have a pending request for leave to amend their Answer to add the affirmative defense of Plaintiff's failure to mitigate damages.

- v. **A statement by each party as to whether the case is to be tried with or without a jury, and the number of trial days needed.**

This case is to be tried with a jury. The Parties anticipate that 8-10 trial days will be needed. Any remedies that must be determined by the Court by law should be determined by the Court, not the jury.

- vi. **A statement as to whether or not all parties have consented to trial of the case by a magistrate judge (without identifying which parties have or have not so consented).**

All parties do not consent to trial by a Magistrate Judge.

vii. Any stipulations or agreed statements of fact or law which have been agreed to by all parties.

1. J.P. Morgan Chase & Co. (“JPMC”) is incorporated in Delaware with its principal place of business at 270 Park Avenue, New York, New York 10017.
2. JPMC hired Plaintiff in November 2006.
3. Prior to her employment at JPMC, Plaintiff had been in the banking industry for 11 years and had been employed at Citibank and First Republic Bank, where she had received training on due diligence procedures, the Know Your Client (“KYC”) process, identifying suspicious account activity and reviewing information provided by clients.
4. Plaintiff was employed as a Private Wealth Manager in the JPMC Private Wealth Management (“PWM”) division from the spring of 2008 until she was terminated on August 5, 2009.
5. In the spring of 2008, Leslie Lassiter (“Lassiter”) became the head of the PWM unit in which Plaintiff was employed.
6. At all relevant times, Plaintiff reported directly to Lassiter.
7. Lassiter reported to Adam Green (“Green”) during the relevant time period. Green was, at that time, the head of the Northeast Region of PWM.
8. Green reported to Joseph (Joe) Kenney (“Kenney”) during the relevant time period. Kenney was, at that time, the Chief Executive Officer of PWM.

viii. A statement by each party as to the witnesses whose testimony is to be offered in its case in chief, indicating whether such witnesses will testify in person or by designation.

Plaintiff’s Statement

Plaintiff intends to offer the testimony of: (i) Jennifer Sharkey; (ii) Joe Kenney; (iii) Adam Green; (iv) Leslie Lassiter; (v) Kathleen Gruszczyk; (vi) Steven Grande; (vii) Jonathan Spira; (viii) “Client A;” (ix) the wife of “Client A;” (x) the son of “Client A;” (xi) “Manager T;” (xii) Anne M. Marchetti; (xiii) Deborah Nye; (xiv) Janice Barnes; (xv) Michael Anthony; (xvi) Veronica Bertrand; (xvii) Scott Goodrich; and/or (xviii) any witness Defendants list in this JPTO or any amendment to the JPTO, and/or Defendants otherwise call to testify at trial.

Plaintiff believes that each of these witnesses will testify in person. Plaintiff reserves the right to call any witness listed by Defendants. Plaintiff reserves the right to call unlisted witnesses for purposes of impeachment, in rebuttal or for the authentication and introduction of a disputed document. Plaintiff also reserves the right to amend and/or supplement this JPTO consistent with the Federal Rules of Civil Procedure, Local Civil Rules for the Southern and Eastern Districts of New York and/or the Individual Rules of the Honorable Robert W. Sweet, or as otherwise appropriate and/or necessary.

Defendants' Statement

Depending on the case-in-chief Plaintiff presents at trial, Defendants may offer the testimony of: (i) Joe Kenney; (ii) Adam Green; (iii) Leslie Lassiter; (iv) Kathleen Gruszczyk; (v) Steven Grande; (vi) Deborah Nye; (vii) Jonathan Spira; (viii) Jennifer Sharkey; (ix) Veronica Bertrand; (x) LuAnn Bowers, and (xi) any witness Plaintiff lists in the JPTO or any amendment to the JPTO, and/or Plaintiff otherwise calls to testify at trial.

At this time, Defendants believe that, in the event they testify, each of the listed witnesses will testify in person, and Defendants will notify the Court and Plaintiff immediately upon learning that a witness is unavailable. If that witness was deposed, Defendants will supplement this JPTO to add deposition designations. Defendants reserve the right to call unlisted witnesses for purposes of impeachment, in rebuttal, or for authentication and introduction of a disputed document. Defendants also reserve the right to amend and/or supplement this JPTO consistent with the Federal Rules of Civil Procedure, Local Civil Rules for the Southern and Eastern Districts of New York and/or the Individual Rules of the Honorable Robert W. Sweet, or as otherwise appropriate and/or necessary.

ix. A designation by each party of deposition testimony to be offered in its case in chief, with any cross-designations and objections by any other party.

At this time, the Parties do not anticipate that any witnesses will be unavailable to testify within the meaning of Fed. R. Evid. 32 and/or 45, but reserve the right to designate and introduce the deposition testimony of any witness within a reasonable period of time after it is determined that such witness is unavailable.

Plaintiff's Designations

In addition to the depositions of the parties, six non-party depositions were taken in this action (excluding Plaintiff's expert, who we expect will be available to testify at trial). Three of these non-parties (Steven Grande, Kathleen Gruszczyk and Jonathan Spira) are employed by JPMC and were produced for their depositions by JPMC. Plaintiff expects (though JPMC has refused to confirm) that JPMC will produce Mr. Grande and Mr. Spira for trial. In the event JPMC ultimately refuses to produce these witnesses for trial, and the witnesses are otherwise unavailable to testify within the meaning of Fed. R. Evid. 32 and/or 45, Plaintiff reserves the right to designate and introduce their deposition testimony. Defendants have indicated that there is a possibility that Client A, the son of Client A and Ms. Gruszczyk all may be unavailable to testify at trial. As this possibility apparently exists, Plaintiff designates deposition testimony for these witnesses, as well as for Client A's wife:

Client A:

| Designation | Objection | Defendants' Cross-Designations |
|-------------|-----------|--------------------------------|
| 5:2 – 13 | | 12:5 - 12:17; 14:19 - 15:5; |
| 6:22 – 7:23 | | 15:9-16:5; 16:19 - 17:20; |

| Designation | Objection | Defendants' Cross-Designations |
|---------------|--|---|
| 8:15 – 20 | | 20:18 - 23: 10; 23:16; 23:19 - 24:10; 24:18-25:15; 28:9-28:12; 28:17 - 28:21; 29:22-30:14; 31:14-31:20; 35:15-35:20; 36:6-37:9; 48:9-49:4; 49:11-49:25; 68:16 - 69:2; 69:20 - 70:21; 74:6 - 78:19; 91:16-91:18; 91:23-92:6; 92:17 - 92:23 |
| 9:7 – 9 | | |
| 10:19 – 11:16 | | |
| 12:5 – 13:24 | | |
| 14:11 – 15:8 | | |
| 18:2 – 15 | | |
| 19:10 – 26:2 | | |
| 26:11 – 20 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 33:17 – 24 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 35:6 – 14 | | |
| 35:21 – 36:5 | | |
| 39:4 – 18 | | |
| 40: 4 – 8 | | |
| 43:14-17 | | |
| 43:24 – 44:14 | | |
| 45:10 – 46:12 | | |
| 50: 2 – 51:7 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 52:6 – 15 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 53:5 – 21 | | |
| 54:22 – 55:12 | | |
| 58:4-10 | | |
| 61:2 – 62:5 | | |
| 69:3 – 71:4 | | |
| 75:14 – 76:18 | | |
| 90:25 – 6 | | |
| 92:24 – 93:12 | | |
| 95:25 – 96: 8 | | |

| Designation | Objection | Defendants' Cross-Designations |
|----------------|--------------------------------------|--------------------------------|
| 100:6 – 101:21 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |

Client A's son:

| Designation | Objection | Defendants' Cross-Designations |
|---------------|--|---|
| 2:5 - 10 | | 21:21 - 22:15; 28:8-28:11; 61:3-61:21; 71:13-71:20; 82:13-82:15 |
| 6:20 – 7:20 | | |
| 8:15 – 19 | | |
| 10:23 – 12:20 | | |
| 19:2 – 20:5 | | |
| 27:3 – 28:7 | | |
| 28:24 – 29:12 | | |
| 30:17 – 31: 7 | | |
| 34:16 – 36:7 | | |
| 36:17 – 37:15 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 38:5 – 17 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 40:8 – 42:6 | | |
| 42:18 – 44:8 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation); Speculation; Fed. R. Evid. 701 | |

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|---------------|---|--|
| 46:2 – 14 | | |
| 47:2 – 48:17 | | |
| 49:23 – 50:15 | | |
| 51:8 – 52:4 | Speculation; Fed. R. Evid. 701 | |
| 65:24 – 67:3 | | |
| 71:8 – 12 | | |
| 71:21 – 72:18 | Fed. R. Evid. 401; Fed. R. Evid. 402; Speculation; Fed. R. Evid. 701 | |
| 75:12 – 18 | | |
| 80:8 – 81:15 | | |
| 81:23 – 82:12 | | |
| 85:12 - 22 | | |

Client A's wife:

| Designation | Objection | Defendants' Cross-Designations |
|--------------------|---|---------------------------------------|
| 5:3 – 6 | | 13:20-13:24; 21:7-21:9 |
| 6: 13 – 7:6 | | |
| 8:3 – 10 | | |
| 9:5 – 7 | | |
| 10:22 – 11:9 | | |
| 11:17 – 12:23 | | |
| 15:4 – 17 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 16:5 – 17:4 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 17:15 – 21:6 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 22:9 – 19 | | |

| Designation | Objection | Defendants' Cross-Designations |
|---------------|--|--------------------------------|
| 23:6 – 10 | | |
| 26:4 – 26:21 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 26:22-28:16 | | |
| 29:10 – 30:21 | | |
| 35:19 – 37:3 | | |
| 37:21 – 23 | | |
| 39:5 – 42:10 | | |
| 42:15 – 17 | | |
| 43: 13 – 23 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 44:6 – 14 | | |
| 46:11 – 24 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 47:8 – 48:14 | | |
| 48:15-48:22 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 49:3 – 11 | | |

Kathleen Gruszczyk:

| Designation | Objection | Defendants' Cross-Designations |
|-------------|-----------|--|
| 4:8-16 | | 9:17 - 12:16; 13:15 - 15:16; 15:19-15:25; 16:4-18:20; 18:25-19:21; 20:4 - 20:14; |
| 4:21-5:12 | | |
| 5:23-24 | | |

| Designation | Objection | Defendants' Cross-Designations |
|-------------|--------------------------------------|--|
| 7:13-18 | | 21:4 - 22:17; 25:2-25:11; 25:22; 26:8-29:4; 29:19-30:5; 31:18-31:21; 31:25-32:4; 32:7-32:13; 34:6-35:4; 40:9 - 40:18; 41:3-43:16; 44:4-44:6; 45:14-46:3; 51:19 - 53:21; 54:11 - 56:17; 57:9 - 58:2; 59:13 - 60:11; 60:16 - 61:15; 62:2 - 62:19; 64:11 - 64:14; 64:16; 64:17; 64:19-67:6; 67:8- 68:2; 68:9 - 68:14; 70:12 - 73:11; 75:19 - 76:7; 77:9 - 78:19; 80:11 - 80:22; 81:5-82:3; 82:15 - 83:10; 86:9 - 86:15; 87:11 - 88:5; 88:7- 88:21; 90:20 - 94:22; 95:16 - 97:2; 100:24 - 102:11; 102:12-102:19; 102:22- 102:24; 104:3-104:8; 106:10 - 107:15; 107:18-108:8; 108:10-108:12; 121:10 - 121:25; 122:4-124:2; 132:21 - 133:9; 133:12-133:16; 136:25 - 137:12; 139:21 - 140:5; 168:15 - 169:17; 175:6 - 175:9; 177:20 - 178:21; 178:24-179:7; 192:18 - 193:17; 196:3 - 202:9; 209:15 - 218:15; 218:19 - 220:2; 221:18 - 224:23; 225:8 - 226:20; 232:4 - 233:8; 235:3 - 235:10 |
| 9:17-10:4 | | |
| 10:15-12:25 | | |
| 13:15-14:11 | | |
| 14:18-15:5 | | |
| 15:9-11 | | |
| 15:21-25 | | |
| 16:4-22:17 | | |
| 24:16-20 | | |
| 30:12-16 | | |
| 30:18-31:11 | | |
| 33:20-23 | | |
| 33:25-34:9 | | |
| 35:17-36:5 | | |
| 36:9-14 | | |
| 38:10-39:6 | Fed. R. Evid. 401; Fed. R. Evid. 402 | |
| 41:11-41:19 | | |
| 42:6-43:16 | | |
| 49:7-22 | | |
| 50:18-23 | | |
| 51:4-7 | | |
| 51:19-53:21 | | |
| 54:2-6 | | |
| 60:16-61:12 | | |
| 61:16-25 | | |
| 62:5-10 | | |
| 64:20-66:6 | | |
| 67:16-68:2 | | |
| 71:5-12 | | |
| 72:24-73:11 | | |
| 76:20-78:3 | | |
| 80:18-22 | | |
| 81:5-14 | | |
| 84:23-85:4 | | |
| 85:7-18 | | |

| Designation | Objection | Defendants' Cross-Designations |
|---------------|--|--------------------------------|
| 86:4-11 | | |
| 87:11-20 | | |
| 88:22-89:17 | | |
| 90:2-91:10 | | |
| 92:8-12 | | |
| 98:19-99:5 | | |
| 101:22-102:4 | | |
| 106:6-19 | | |
| 107:3-23 | | |
| 109:2-6 | | |
| 119:24-120:2 | | |
| 120:22-121:3 | | |
| 121:10-23 | | |
| 122:7-123:21 | | |
| 124:3-15 | | |
| 126:20-127:6 | | |
| 127:22-24 | | |
| 128:8-13 | | |
| 129:4-8 | | |
| 130:6-14 | | |
| 130:22-131:2 | | |
| 138:15-19 | Fed. R. Evid. 401; Fed. R. Evid. 402; Fed. R. Evid. 602 (Lack of Foundation) | |
| 154:23-155:17 | | |
| 155:22-156:16 | | |
| 157:21-158:21 | | |
| 165:23-167:2 | | |
| 169:20-22 | | |
| 170:9-13 | | |
| 173:17-175:3 | | |
| 175:15-176:11 | | |
| 183:19-184:9 | | |
| 184:12-185:10 | | |

| Designation | Objection | Defendants' Cross-Designations |
|---------------|-----------|--------------------------------|
| 186:7-15 | | |
| 196:3-8 | | |
| 196:16-20 | | |
| 196:24-197:14 | | |
| 198:13-199:4 | | |
| 202:10-203:18 | | |
| 205:25-209:5 | | |
| 221:5-17 | | |
| 229:8-10 | | |
| 230:6-8 | | |
| 230:11-13 | | |

Defendants' Designations

Given that Client A, the son of Client A, and the wife of Client A are all third parties and not employees of any of the Parties, there is a possibility that they will be unavailable to testify at trial. Additionally, since her deposition, Ms. Gruszczyk has left JPMC. As a result, there is a possibility that she may be unavailable to testify at trial. Therefore, Defendants have designated the following portions of the deposition transcripts of Client A, the son of Client A, the wife of Client A and Ms. Gruszczyk in the event they do not testify.

Client A:

| Designation | Objection | Plaintiff's Cross-Designations |
|---------------------------|-----------|---|
| 12:5 - 12:17 | n/a | 5:2 – 13, 6:22 – 7:23, 8:15 – 20, 9:7 – 9, 10:19 – 11:16, 12:5 – 13:24, 14:11 – 15:8, 18:2 – 15, 19:10 – 26:2, 26:11 – 20, 28:22 – 24, 33:17 – 24, 35:6 – 14, 35:21 – 36:5, 39:4 – 18, 40: 4 – 8, 43:14-17, 43:24 – 44:14, 45:10 – 46:12, 50: 2 – 51:7, 52:6 – 15, 53:5 – 21, 54:22 – 55:12, 58:4-10, 61:2 – 62:5, 69:3 – 71:4, 75:14 – 76:18, 90:25 – 6, 92:24 – 93:12, 95:25 – 96: 8, |
| 14:19 - 15:5 | n/a | |
| 15:9-16:5 | n/a | |
| 16:19 - 17:20 | n/a | |
| 20:18 - 23: 10 | n/a | |
| 23:16 | n/a | |
| 23:19 - 24:10 | n/a | |
| 24:18-25:15 | n/a | |
| 28:9-28:12; 28:17 - 28:21 | n/a | |

| Designation | Objection | Plaintiff's Cross-Designations |
|-------------------------|--------------------------------|--------------------------------|
| 29:22- 30:14 | FRE 602 (as to 29:22-30:5) | 100:6 – 101:21 |
| 31:14-31:20 | n/a | |
| 35:15-35:20 | FRE 401/403 | |
| 36:6-37:9 | n/a | |
| 48:9-49:4 | FRE 401/403 | |
| 49:11-49:25 | FRE 401/403 (as to 49:11 – 17) | |
| 68:16 - 69:2 | FRE 401/403 | |
| 69:20 - 70:21 | n/a | |
| 74:6 - 78:19 | n/a | |
| 91:16-91:18; 91:23-92:6 | n/a | |
| 92:17 - 92:23 | n/a | |

Client A's son:

| Designation | Objection | Plaintiff's Cross-Designations |
|---------------|-----------|--|
| 21:21 - 22:15 | n/a | 2:5 – 10, 6:20 – 7:20, 8:15 – 19, 10:23 – 12:20, 19:2 – 20:5, 27:3 – 28:7, 28:24 – 29:12, 30:17 – 31: 7, 34:16 – |
| 28:8-28:11 | n/a | |
| 61:3-61:21 | n/a | |
| 71:13-71:20 | n/a | |

| Designation | Objection | Plaintiff's Cross-Designations |
|-------------|-----------|---|
| 82:13-82:15 | n/a | 36:7, 36:172:5 – 10, 6:20 – 7:20, 8:15 – 19, 10:23 – 12:20, 19:2 – 20:5, 27:3 – 28:7, 28:24 – 29:12, 30:17 – 31: 7, 34:16 – 36:7, 36:17 – 37:15, 38:5 – 17, 40:8 – 42:6, 42:18 – 44:8, 46:2 – 14, 47:2 – 48:17, 49:23 – 50:15, 51:8 – 52:4, 65:24 – 67:3, 71:8 – 12, 71:21 – 72:18, 75:12 – 18, 80:8 – 81:15, 81:23 – 82:12, 85:12 - 22 – 37:15, 38:5 – 17, 40:8 – 42:6, 42:18 – 44:8, 46:2 – 14, 47:2 – 48:17, 49:23 – 50:15, 51:8 – 52:4, 65:24 – 67:3, 71:8 – 12, 71:21 – 72:18, 75:12 – 18, 80:8 – 81:15, 81:23 – 82:12, 85:12 - 22 |

Client A's Wife:

| Designation | Objection | Plaintiff's Cross-Designations |
|-------------|-----------|--|
| 13:20-13:24 | n/a | 5:3 – 6 , 6: 13 – 7:6, 8:3 – 10, 9:5 – 7, 10:22 – 11:9, 11:17 – 12:23, 15:4 – 17, 16:5 – 17:4, 17:15 – 21:6, 22:9 – 19, 23:6 – 10, 26:4 – 26:21, 26:22- 28:16, 29:10 – 30:21, 35:19 – 37:3, 37:21 – 23, 39:5 – 42:10, 42:15 – 17, 43: 13 – 23, 44:6 – 14, 46:11 – 24, 47:8 – 48:14, 48:15-48:22, 49:3 – 11 |
| 21:7-21:9 | n/a | |

Kathleen Gruszczyk:

| Designation | Objection | Plaintiff's Cross-Designations |
|--|--------------------------------------|--|
| 9:17 - 12:16 | n/a | 4:8-16, 4:21-5:12, 5:23-24, 7:13-18, 9:17-10:4, 10:15-12:25, 13:15-14:11, 14:18-15:5, 15:9-11, 15:21-25, 16:4-22:17, 24:16-20, 30:12-16, 30:18-31:11, 33:20-23, 33:25-34:9, 35:17-36:5, 36:9-14, 38:10-39:6, 41:11-41:19, 42:6-43:16, 49:7-22, 50:18-23, 51:4-7, 51:19-53:21, 54:2-6, 60:16-61:12, 61:16-25, 62:5-10, 64:20-66:6, 67:16-68:2, 71:5-12, 72:24-73:11, 76:20-78:3, 80:18-22, 81:5-14, 84:23-85:4, 85:7-18, 86:4-11, 87:11-20, 88:22-89:17, 90:2-91:10, 92:8-12, 98:19-99:5, 101:22-102:4, 106:6-19, 107:3-23, 109:2-6, 119:24-120:2, 120:22-121:3, 121:10-23, 122:7-123:21, 124:3-15, 126:20-127:6, 127:22-24, 128:8-13, 129:4-8, 130:6-14, 130:22-131:2, 138:15-19, 154:23-155:17, 155:22-156:16, 157:21-158:21, 165:23-167:2, 169:20-22, 170:9-13, 173:17-175:3, 175:15-176:11, 183:19-184:9, 184:12-185:10, 186:7-15, 196:3-8, 196:16-20, 196:24-197:14, 198:13-199:4, 202:10-203:18, 205:25-209:5, 221:5-17, 229:8-10, 230:6-8, 230:11-13 |
| 13:15 - 15:16 | n/a | |
| 15:19-15:25 | n/a | |
| 16:4-18:20 | n/a | |
| 18:25-19:21 | n/a | |
| 20:4 - 20:14 | n/a | |
| 21:4 - 22:17 | n/a | |
| 25:2-25:11 | FRE 401/403 | |
| 25:22; 26:8-29:4 | FRE 401/403 | |
| 29:19-30:5 | FRE 401/403 | |
| 31:18-31:21 | n/a | |
| 31:25-32:4; 32:7-32:13 | n/a | |
| 34:6-35:4 | n/a | |
| 40:9 - 40:18; 41:3-43:16 | FRE 401/403 (as to 41:25 – 42: 2) | |
| 44:4-44:6 | n/a | |
| 45:14-46:3 | FRE 401/403 | |
| 51:19 - 53:21 | n/a | |
| 54:11 - 56:17 | n/a | |
| 57:9 - 58:2 | n/a | |
| 59:13 - 60:11 | FRE 401/403/ 602 | |
| 60:16 - 61:15 | n/a | |
| 62:2 - 62:19 | FRE 401/403 (as to 62:11 – 19) | |
| 64:11 - 64:14; 64:16; 64:17; 64:19-67:6; 67:8- 68:2 | n/a | |
| 68:9 - 68:14 | n/a | |
| 70:12 - 73:11 | FRE 401/403 (as to 70:12 – 71:4) | |
| 75:19 - 76:7 | n/a | |

| | |
|---|--|
| 77:9 - 78:19 | FRE 401/403/602 (as to 78:10 – 19) |
| 80:11 - 80:22; 81:5-82:3 | FRE 401/403/ 602 (as to 80:11 – 17, 81:15 – 82:3) |
| 82:15 - 83:10 | n/a |
| 86:9 - 86:15 | FRE 401/403 (as to 86:12 – 15) |
| 87:11 - 88:5; 88:7-88:21 | n/a |
| 90:20 - 94:22 | FRE 401/403/ 801 (as to 92:13 – 94:22) |
| 95:16 - 97:2 | n/a |
| 100:24 - 102:11; 102:12- 102:19; 102:22-102:24 | n/a |
| 104:3-104:8 | FRE 401/403 |
| 106:10 - 107:15; 107:18- 108:8; 108:10-108:12 | FRE 401/403/ 602 (as to 107:24 – 108:12) |
| 121:10 - 121:25; 122:4- 124:2 | FRE 401/403/ 602 (as to 132:22 – 124:2) |
| 132:21 - 133:9; 133:12- 133:16 | n/a |
| 136:25 - 137:12 | 136:25 - 137:12 |
| 139:21 - 140:5 | 139:21 - 140:5 |
| 168:15 - 169:17 | 168:15 - 169:17 |
| 175:6 - 175:9 | 175:6 - 175:9 |
| 177:20 - 178:21; 178:24- 179:7 | n/a |
| 192:18 - 193:17 | 192:18 - 193:17 |
| 196:3 - 202:9 | 196:3 - 202:9 |
| 209:15 - 218:15 | 209:15 - 218:15 |
| 218:19 - 220:2 | 218:19 - 220:2 |

| | | |
|-----------------|--------------------|--|
| 221:18 - 224:23 | 221:18 - 224:23 | |
| 225:8 - 226:20 | 225:8 - 226:20 | |
| 232:4 - 233:8 | 232:4 - 233:8 | |
| 235:3 - 235:10 | 235:3 - 235:10 | |

- x. A list by each party of exhibits to be offered in its case in chief, with one star indicating exhibits to which no party objects on grounds of authenticity, and two stars indicating exhibits to which no party objects on any ground

Plaintiff's Exhibits:

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**) ¹ |
|----------------|-----------|---|---|
| n/a | | Enlarged versions of the exhibits of any party | |
| n/a | | Enlarged excerpts of the deposition or trial testimony of any witness | |
| n/a | | Electronic highlighting and/or cropping and/or "pop-outs" of the exhibits of any party | |
| n/a | | Electronic highlighting and/or cropping and/or "pop-outs" of the deposition or trial testimony of any witness | |
| n/a | | Compilations of information contained within the exhibits of any party, including, but not limited to, lists, charts, graphs, tables, timelines, PowerPoint presentations, slide shows or any other form of presenting such information | |

¹ The objections provided herein are provided in a good faith attempt to comply with Rule 3(A) of the Individual Rules and Procedures of the Honorable Robert W. Sweet. However, depending on the course of the trial, the evidence adduced at trial and the Court's rulings as to the admissibility of various categories of evidence, Defendant may object to the introduction of documents listed herein (or on any subsequent amendment of the JPTO) despite having not indicated an objection herein. Moreover, Defendants' objections herein are made without knowledge as to the purpose for which any particular document may be introduced and Defendants may object to the introduction of documents based on the purpose for which they are used even if an objection is not indicated herein. As such, Defendants reserve the right to object to the introduction of any document at trial regardless of whether such documents are objected to herein.

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|---|--|
| n/a | | Compilations of the deposition or trial testimony of any witness, including, but not limited to, lists, charts, graphs, tables, timelines, PowerPoint presentations, slide shows or any other form of presenting such information | |
| 1 | JPMC HC 0000057 – 65 | Certificate of Incorporation and Related Documents | ** |
| 2 | JPMC HC 0000101 | NYS Department of State Entity Information | ** |
| 3 | JPMC HC 0000041 | Fax dated August 18, 2002 | ** |
| 4 | JPMC HC 0000036 | Form W-8BEN | ** |
| 5 | JPMC HC 0000034 – 35 | Bank Authorization | ** |
| 6 | JPMC HC 0000071 – 77 | Investment Account Application | ** |
| 7 | JPMC HC 0000819 – 39 | Due Diligence Report | ** |
| 8 | JS 0239 – 40 | Plaintiff's Resume | ** |
| 9 | JS 001 – 03 | Plaintiff's Employment Agreement | ** |
| 10 | JPMC HC 0000037 – 40 | Personal Trust Account Review | ** |
| 11 | JS 0089 – 92 | Release Agreement | ** |
| 12 | JPMC HC 0000049 – 50 | Letter dated December 21, 2006 | ** |
| 13 | JPMC HC 0000047 – 48 | Letter dated December 22, 2006 | ** |
| 14 | JPMC HC 0000090 – 91 | Handwritten Notes | ** |
| 15 | JPMC HC 0000089 | Email dated October 16, 2007 | ** |
| 16 | JPMC HC 0000088 | Email dated October 19, 2007 | ** |
| 17 | JPMC HC 0000380 – 383 | Fax dated October 22, 2007 | ** |
| 18 | JPMC HC 0000051 – 54 | Fax dated November 2, 2007 | ** |
| 19 | JPMC HC 0000055 | Email dated December 5, 2007 | * |
| 20 | JPMC HC 0001897 – 903 | KYC Approval Verify & Confirm | ** |
| 21 | JPMC HC 0000490 | Earnings Statement (with redactions) | ** |
| 22 | JS 0526 – 532 | Bank Secrecy Act Anti-Money Laundering Examination Manual | ** |
| 23 | JPMC2-00083663 – 700 | Email dated April 18, 2008 and attachment | ** |
| 24 | JPMC HC2 0000080 – 82 | KYC Summary | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|----------------------------|---|--|
| 25 | JPMC HC 0001918 – 23 | KYC Approval Verify & Confirm | ** |
| 26 | JPMC HC 0003038 – 47 | KYC Summary | ** |
| 27 | JPMC-00003043 – 49 | Email dated September 5, 2008 | ** |
| 28 | JPMC HC 0000779, 803 | Portions of Presentation | * |
| 29 | JPMC2-00004070 – 71 | Email dated December 5, 2008 | ** |
| 30 | JPMC HC 0000332 – 35 | KYC Summary | ** |
| 31 | JPMC HC 0000011 – 17 | KYC Summary | ** |
| 32 | JPMC HC 0000018 – 25 | KYC Summary | ** |
| 33 | JPMC HC 0003029 – 37 | KYC Summary | ** |
| 34 | JPMC HC2 0000083 – 85 | KYC Summary | ** |
| 35 | JPMC HC2 0000104 – 06 | KYC Summary | ** |
| 36 | JPMC HC 0001878 – 81 | KYC Approval Verify & Confirm | ** |
| 37 | JPMC HC 0001888 – 92 | KYC Approval Verify & Confirm | ** |
| 38 | JPMC HC 0001893 – 96 | KYC Approval Verify & Confirm | ** |
| 39 | JPMC HC 0001904 – 08 | KYC Approval Verify & Confirm | ** |
| 40 | JPMC HC 0000092 – 96 | Email dated December 17, 2008 | ** |
| 41 | JPMC2-00009950 – 54 | Email dated December 17, 2008 | ** |
| 42 | JPMC2-00030946 – 67 | Email dated December 17, 2008 and attachments | ** |
| 43 | JPMC HC 0000742 – 746 | KYC Business Case Exception Form | ** |
| 44 | JPMC HC 0002959 – 63 | KYN Business Case Exception Form | ** |
| 45 | JPMC HC 0000001 – 31 | KYC Summaries | ** |
| 46 | JPMC HC 0000001 – 10 | KYC Summary | ** |
| 47 | JPMC2-00000243 – 44 | Email dated January 23, 2009 | ** |
| 48 | JPMC2-00090605 – 13 | HALO Case Summary | ** |
| 49 | JPMC2-00090126 | Client A Timeline | ** |
| 50 | JS 0081 – 88 | Relationship Review | ** |
| 51 | JPMC2-00004071, 5002, 4886 | Spreadsheets | * |
| 52 | JPMC HC 0001042, 1088 | New Hire Welcome Book | * |
| 53 | JS 0047 – 48 | Plaintiff's Individual Scorecard | ** |
| 54 | JPMC HC 0000519 | Earnings Statement (with redactions) | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|---|--|
| 55 | JPMC2-00042749 – 55 | Email dated January 17, 2008 and attachments | ** |
| 56 | JPMC2-00036724 | Email dated January 18, 2009 | ** |
| 57 | JPMC HC2 0000533 – 39 | KYC Summary | ** |
| 58 | JPMC2-00037210 – 17 | Meeting Invite dated January 22, 2009 and attachments | ** |
| 59 | JPMC HC 0001882 – 87 | KYC Approval Verify & Confirm | ** |
| 60 | JPMC2-00009811 – 18 | Email dated January 23, 2009 and attachments | ** |
| 61 | JPMC HC 0000521 | Earnings Statement (with redactions) | ** |
| 62 | JPMC2-00000463 | Email dated February 25, 2009 | ** |
| 63 | JPMC2-00000480 | Email dated March 6, 2009 | ** |
| 64 | JPMC2-00000196 – 205 | Email dated March 6, 2009 | ** |
| 65 | JPMC2-00000206 – 09 | Email dated March 9, 2009 | ** |
| 66 | JPMC2-00030891 – 92 | Email dated March 13, 2009 | ** |
| 67 | JPMC2-00030889 -90 | Email dated March 13, 2009 | ** |
| 68 | JPMC2-00000490 – 93 | Email dated March 21, 2009 | ** |
| 69 | JPMC2-00000542 – 44 | Email dated March 23, 2009 | ** |
| 70 | JPMC HC2 0000037 – 41 | KYC Summary | ** |
| 71 | JPMC HC 0001909 – 14 | KYC Approval Verify & Confirm | ** |
| 72 | JPMC2-00000452 – 53 | Email dated March 24, 2009 | ** |
| 73 | JPMC HC 0001461 – 63 | Letter dated March 25, 2009 | ** |
| 74 | JPMC2-00000218 | Email dated March 25, 2009 | ** |
| 75 | JPMC2-00000516 – 19 | Email dated March 25, 2009 | ** |
| 76 | JPMC2-00012494 – 500 | Email dated March 26, 2009 | ** |
| 77 | JPMC2-00010956 – 63 | Email dated March 26, 2009 | ** |
| 78 | JPMC2-00010880 – 86 | Email dated April 1, 2009 | ** |
| 79 | JPMC2-00010928 – 36 | Email dated April 2, 2009 | ** |
| 80 | JPMC2-00007931 – 37 | Email dated April 2, 2009 | * |
| 81 | JPMC-00007240 – 47 | Email dated April 3, 2009 | |
| 82 | JPMC2-00010887 – 90 | Email dated April 3, 2009 | ** |
| 83 | JPMC-00005980 | Email dated April 6, 2009 | ** |
| 84 | JPMC-00007238 | Email dated April 6, 2009 | ** |
| 85 | JPMC-00006681 | Email dated April 6, 2009 | ** |
| 86 | JPMC2-00012785 | Email dated April 6, 2009 | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|--|--|
| 87 | JPMC-00000255 | Email dated April 7, 2009 | * |
| 88 | JPMC-00006651 – 60 | Email dated April 7, 2009 | ** |
| 89 | JPMC-00001116 – 25 | Email dated April 7, 2009 | ** |
| 90 | JPMC-00006612 – 20 | Email dated April 7, 2009 | ** |
| 91 | JPMC-00000965 | Email dated April 8, 2009 | * |
| 92 | JPMC-00002565 – 67 | Email dated April 8, 2009 | ** |
| 93 | JPMC2-00009303 – 07 | Email dated April 8, 2009 | ** |
| 94 | JPMC-00000701 – 06 | Email dated April 8, 2009 and attachments | ** |
| 95 | JPMC-00000254 | Email dated April 8, 2009 | ** |
| 96 | JPMC-00006591 – 93 | Email dated April 22, 2009 and attachment | ** |
| 97 | JPMC2-00010896 – 907 | Email dated April 22, 2009 and attachments | ** |
| 98 | JPMC-00000712 – 14 | Email dated April 22, 2009 and attachment | ** |
| 99 | JPMC-00006586 – 89 | Email dated April 22, 2009 and attachment | ** |
| 100 | JPMC-00001105 – 07 | Email dated April 22, 2009 and attachment | ** |
| 101 | JPMC HC2 0000181 | Handwritten Notes | ** |
| 102 | JPMC 0002252 – 53 | Email dated April 24, 2009 | * |
| 103 | JPMC-00006583 | Email dated April 27, 2009 | ** |
| 104 | JPMC-00005975 | Email dated April 27, 2009 | ** |
| 105 | JPMC-00005973 | Email dated April 27, 2009 | ** |
| 106 | JPMC2-00089389 – 91 | Email dated April 29, 2009 | ** |
| 107 | JPMC2-00087596 | Email dated April 29, 2009 | * |
| 108 | JPMC HC2 0000184 – 85 | Letter dated April 30, 2009 | ** |
| 109 | JS 0013 – 44 | Code of Conduct | ** |
| 110 | JPMC-00001042 – 1104 | Email dated May 1, 2009 and attachment | ** |
| 111 | JPMC-00000715 – 78 | Email dated May 4, 2009 and attachment | ** |
| 112 | JPMC-00000967 – 1030 | Email dated May 4, 2009 and attachment | ** |
| 113 | JPMC-00001139 – 44 | Email dated May 4, 2009 | ** |
| 114 | JPMC-00002239 | Email dated May 4, 2009 | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|---|--|
| 115 | JPMC-00002183 | Meeting Calendar Entry dated May 5, 2009 | ** |
| 116 | JPMC-00001376 | Email dated May 5, 2009 | ** |
| 117 | JPMC2-00089882 – 85 | Emails dated May – August 2009 | * |
| 118 | JPMC2-00006856 – 60 | Email dated May 11, 2009 | ** |
| 119 | JPMC2-00043078 – 79 | Email dated May 15, 2009 and attachment | * |
| 120 | JPMC-00000963 | Email dated May 16, 2009 | ** |
| 121 | JPMC-00005933 | Email dated May 22, 2009 | ** |
| 122 | JPMC-00006320 – 21 | Email dated May 22, 2009 | ** |
| 123 | JPMC HC2 0000269 – 88 | Midyear 2009 Talent Review | * |
| 124 | JPMC HC2 0000202 | Plaintiff's Individual Scorecard | * |
| 125 | JPMC-00006986 | Email dated June 8, 2009 | ** |
| 126 | JPMC-00003023 | Email dated June 11, 2009 | ** |
| 127 | JPMC-00003022 | Email dated June 11, 2009 | ** |
| 128 | JPMC-00003020 | Email dated June 11, 2009 | ** |
| 129 | JPMC-00003018 | Email dated June 11, 2009 | ** |
| 130 | JPMC-00003012 | Email dated June 15, 2009 | * |
| 131 | JPMC-00002924 – 55 | Email dated June 24, 2009 and attachments | * |
| 132 | JPMC-00002915 | Email dated June 26, 2009 | ** |
| 133 | JPMC-00002911 | Email dated June 26, 2009 | ** |
| 134 | JPMC2-00002642 – 62 | Email dated June 26, 2009 | ** |
| 135 | JPMC2-00087894 – 929 | Email dated June 26, 2009 and attachment | ** |
| 136 | JPMC-00002897 | Email dated June 29, 2009 | * |
| 137 | A000095 – 96 | Email dated June 30, 2009 | ** |
| 138 | JPMC-00002842 | Email dated July 1, 2009 | ** |
| 139 | JPMC2-00002686 – 736 | Email dated July 3, 2009 | ** |
| 140 | JPMC-00001033 | Email dated July 5, 2009 | ** |
| 141 | JPMC2-00064629 – 93 | Email dated July 7, 2009 and attachment | ** |
| 142 | JPMC-00002800 | Meeting Invite dated July 7, 2009 | ** |
| 143 | JPMC-00001348 – 51 | Email dated July 10, 2009 and attachments | ** |
| 144 | JPMC2-00002685 | Email dated July 21, 2009 | ** |
| 145 | JPMC2-00064731 | Email dated July 21, 2009 | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|---|--|
| 146 | JPMC HC2 0000190 | Email dated July 23, 2009 | ** |
| 147 | JPMC-00002723 | Email dated July 24, 2009 | ** |
| 148 | JPMC-00002552 – 54 | Email dated July 24, 2009 | ** |
| 149 | JPMC-00002716 | Email dated July 26, 2009 | ** |
| 150 | JPMC-00002548 – 50 | Email dated July 27, 2009 | ** |
| 151 | JS 0049 – 51 | Email dated July 27, 2009 and attachments | ** |
| 152 | JPMC-00001146 | Email dated July 28, 2009 | ** |
| 153 | JPMC-00002704 | Email dated July 28, 2009 | ** |
| 154 | JPMC HC2 0000191 | Meeting Invite dated July 28, 2009 | ** |
| 155 | JPMC-00000700 | Meeting Invite dated July 28, 2009 | ** |
| 156 | JPMC-00001338 – 40 | Email dated July 28, 2009 and attachments | ** |
| 157 | JPMC-00001337 | Email dated July 29, 2009 | ** |
| 158 | JPMC2-00088262 | Email dated July 29, 2009 | ** |
| 159 | JPMC-00000710 | Email dated July 31, 2009 | ** |
| 160 | JPMC-00002281 | Email dated July 31, 2009 | ** |
| 161 | JPMC-00002611 | Email dated August 4, 2009 | ** |
| 162 | JS 0282 – 84 | Handwritten Notes | ** |
| 163 | JPMC HC2 0000216 | Handwritten Notes | ** |
| 164 | JPMC HC2 0000217 – 18 | Handwritten Notes | ** |
| 165 | JPMC2-00000552 – 53 | Email dated August 6, 2009 | ** |
| 166 | JPMC HC 0000737 – 39 | Corrective Action | ** |
| 167 | JPMC2-00089379 | Email dated August 27, 2009 | ** |
| 168 | JPMC2-00064607 – 28 | Email dated September 25, 2009 and attachment | ** |
| 169 | JPMC2-00089012 | Email dated September 8, 2009 | ** |
| 170 | JPMC2-00088399 | Email dated September 16, 2009 | ** |
| 171 | JPMC2-00072124 | Email dated September 17, 2009 | ** |
| 172 | JPMC2-00072196 | Email dated September 17, 2009 | ** |
| 173 | JPMC2-00064607 | Email dated September 25, 2009 | * |
| 174 | JPMC2-00072194 | Email dated September 29, 2009 | ** |
| 175 | JPMC2-00072190 | Email dated September 30, 2009 | ** |
| 176 | JPMC2-00088473 | Email dated October 1, 2009 | * |
| 177 | JPMC2-00087796 | Fax dated October 2, 2009 | ** |
| 178 | JPMC2-00007380 | Email dated October 9, 2009 | ** |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|-----------------------|---|--|
| 179 | JPMC2-00088673 – 77 | Email dated October 23, 2009 | ** |
| 180 | JS – 0237 | Earnings Statement (with redactions) | ** |
| 181 | JS 0238 | Earnings Statement (with redactions) | ** |
| 182 | JS 0332 | Form W-2 (with redactions) | ** |
| 183 | JS 0333 | Form 1099-G (with redactions) | ** |
| 184 | JPMC2-00088715 | Email dated November 4, 2009 | ** |
| 185 | JPMC HC2 0000026 – 31 | KYC Summary | ** |
| 186 | JPMC2-00072150 | Email dated November 19, 2009 and attachment | * |
| 187 | N/A | Affidavit of Leslie Lassiter | * |
| 188 | JPMC2-00000550 – 51 | Email dated December 10, 2009 | ** |
| 189 | JPMC2-00072133 | Email dated December 20, 2009 | * |
| 190 | JPMC2-00007842 | Email dated December 20, 2009 | ** |
| 191 | JS 0189 – 90 | Affidavit of Kathleen Gruszczyk | * |
| 192 | JS 0191 – 92 | Affidavit of Patrice O'Malley | * |
| 193 | JS 0193 – 94 | Affidavit of Deborah Nye | * |
| 194 | JPMC2-00064706 – 11 | Email dated January 13, 2010 | ** |
| 195 | JPMC2-00007788 – 93 | Email dated January 15, 2010 | ** |
| 196 | JPMC2-00007729 – 87 | Email dated January 17, 2010 | ** |
| 197 | JPMC2-00072131 | Email dated January 28, 2010 | ** |
| 198 | JPMC2-00089228 – 29 | Email dated January 28, 2010 | ** |
| 199 | JPMC2-00064599 – 604 | Email dated February 24, 2010 | ** |
| 200 | JPMC2-00088766 – 67 | Email dated March 8, 2010 | ** |
| 201 | JPMC2-00088154 – 55 | Email dated May 25, 2010 | * |
| 202 | JPMC HC2 0000014 – 18 | Approval Verify & Confirm | ** |
| 203 | JPMC2-00007700 – 08 | Email dated May 27, 2010 and attachment | ** |
| 204 | JPMC2-00090113 | Email dated July 15, 2010 without attachments | * |
| 205 | JPMC HC2 0000374 – 77 | KYC Approval Verify & Confirm | ** |
| 206 | JPMC2-00007400 | Email dated November 1, 2010 | * |
| 207 | JS 0334 | Form 1099-G | ** |
| 208 | JPMC2-00007387 -88 | Email dated January 31, 2011 | * |

| Exhibit Number | Bates No. | Description | No Authenticity Objection (*) No Objection (**)¹ |
|-----------------------|------------------|--|--|
| 209 | N/A | Amended Complaint | * |
| 210 | JS 0518 – 25 | Consent Order | * |
| 211 | JS 0374 – 505 | Report Regarding 2012 CIO Losses | * |
| 212 | N/A | Expert Report of Anne M. Marchetti and related documents | * |
| 213 | N/A | Defendants' Answer and Affirmative Defenses | * |
| 214 | N/A | Defendants' Initial Disclosures | * |
| 215 | N/A | Defendant J.P. Morgan Chase & Co.'s Responses to Plaintiff's First Set of Interrogatories | * |
| 216 | N/A | Defendants' Responses and Objections to Plaintiff's First Request for Production of Documents | * |
| 217 | N/A | Defendants' Responses and Objections to Plaintiff's Second Request for Production of Documents | * |
| 218 | N/A | Defendants' Responses and Objections to Plaintiff's Third Request for Production of Documents | * |
| 219 | N/A | Defendants' Responses and Objections to Plaintiff's Fourth Request for Production of Documents | * |
| 220 | N/A | Defendants' Responses and Objections to Plaintiff's Fifth Request for Production of Documents | * |
| 221 | N/A | Defendants' Responses and Objections to Plaintiff's Sixth Request for Production of Documents | * |

To the extent all members of a document family are not listed above, Plaintiff reserves the right to offer into evidence any other members of the document family if not included in the above Bates range.

Plaintiff reserves the right to offer into evidence any and all exhibits listed by Defendants. Plaintiff also reserves the right to supplement this exhibit list with any documents still to be produced. Plaintiff reserves the right to use unlisted exhibits for purposes of impeachment or rebuttal or any other purpose permitted by the Fed. R. Evid. Plaintiff also reserves the right to amend and/or supplement this JPTO consistent with the Federal Rules of Civil Procedure, Local Civil Rules for the Southern and Eastern Districts of New York and/or the Individual Rules of the Honorable Robert W. Sweet, or as otherwise appropriate and/or necessary.

Plaintiff reserves the right to object to the admissibility of any of Defendants' exhibits at trial depending on the basis on which and/or purpose for which Defendants seek to use any listed exhibit. In addition, as indicated below, Plaintiff does not object to the authenticity of any of Defendants' exhibits in that Plaintiff does not claim that any of Defendants' exhibits are fabricated or fraudulent. However, Plaintiff does reserve the right to object to the introduction of any exhibit through a witness in contravention of Fed. R. Evid. 901.

Defendants' Exhibits:

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**) ² |
|-----------------------|--------------------|---|---|
| n/a | | Enlarged versions of the exhibits of any party | |
| n/a | | Enlarged excerpts of the deposition or trial testimony of any witness | |
| n/a | | Electronic highlighting and/or cropping and/or "pop-outs" of the exhibits of any party | |
| n/a | | Electronic highlighting and/or cropping and/or "pop-outs" of the deposition or trial testimony of any witness | |

² The objections provided herein are provided in a good faith attempt to comply with Rule 3(A) of the Individual Rules and Procedures of the Honorable Robert W. Sweet. However, depending on the course of the trial, the evidence adduced at trial and the Court's rulings as to the admissibility of various categories of evidence, Plaintiff may object to the introduction of documents despite having not indicated an objection herein. Moreover, Plaintiff's objections herein are made without knowledge as to the purpose for which any particular document may be introduced and Plaintiff may object to the introduction of documents based on the purpose for which they are used even if an objection is not indicated herein. As such, Plaintiff reserves the right to object to the introduction of any document at trial regardless of whether such documents are objected to herein.

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|-----------------------------------|---|---|
| n/a | | Compilations of information contained within the exhibits of any party, including, but not limited to, lists, charts, graphs, tables, timelines, PowerPoint presentations, slide shows or any other form of presenting such information | |
| n/a | | Compilations of the deposition or trial testimony of any witness, including, but not limited to, lists, charts, graphs, tables, timelines, PowerPoint presentations, slide shows or any other form of presenting such information | |
| D-1. | A000072 - A000073 | Email dated June 26, 2009 | * |
| D-2. | A000074 - A000077 | Email dated June 26, 2009 | * |
| D-3. | A000095 - A000096 | Email dated June 30, 2009 | ** |
| D-4. | JPMC HC 0000001 - JPMC HC 0000031 | KYCs | ** |
| D-5. | JPMC HC 0000032 - JPMC HC 0000136 | Files | * |
| D-6. | JPMC HC 0000730 - JPMC HC 0000736 | KYC | * |
| D-7. | JPMC HC 0000137 - JPMC HC 0000176 | File | * |
| D-8. | JPMC HC 0000177 - JPMC HC 0000234 | Files | * |
| D-9. | JPMC HC 0000235 - JPMC HC 0000331 | Files | * |
| D-10. | JPMC HC 0000332 - JPMC HC 0000335 | KYC | ** |
| D-11. | JPMC HC 0000336 - JPMC HC 0000456 | Files | * |
| D-12. | JPMC HC 0000555 - JPMC HC 0000557 | Letter dated October 12, 2006 | ** |
| D-13. | JPMC HC 0000737 - JPMC HC 0000739 | Corrective Action Policy | ** |
| D-14. | JPMC HC 0000742 - JPMC HC 0000746 | Business Case Exception Form | ** |
| D-15. | JPMC HC 0000777 | Affirmation | ** |
| D-16. | JPMC HC 0000778 | Affirmation | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|--------------------------------------|-------------------------------|---|
| D-17. | JPMC HC 0000779 - JPMC HC 0000806 | October 31, 2008 Presentation | * |
| D-18. | JPMC HC 0000807 - JPMC HC 0000812 | KYC | ** |
| D-19. | JPMC HC 0000813 - JPMC HC 0000818 | KYC | ** |
| D-20. | JPMC HC 0000819 - JPMC HC 0000902 | Due Diligence Report | ** |
| D-21. | JPMC HC 0000903 - JPMC HC 0000904 | Email dated July 1, 2009 | * |
| D-22. | JPMC HC 0000905 - JPMC HC 0000909 | Business Case Exception Form | ** |
| D-23. | JPMC HC 0001159 - JPMC HC 0001168 | Code of Conduct | * |
| D-24. | JPMC HC 0001455 - JPMC HC 0001456 | Privacy Policy | * |
| D-25. | JPMC HC 0001461 - JPMC HC 0001463 | Fax dated March 25, 2009 | ** |
| D-26. | JPMC HC 0001550 - JPMC HC 0001553 | Fax dated June 12, 2009 | * |
| D-27. | JPMC HC 0001660 - JPMC HC 0001663 | Files | * |
| D-28. | JPMC HC 0001664 - JPMC HC 0001665 | Files | * |
| D-29. | JPMC HC 0001878 - JPMC HC 0001881 | KYC | ** |
| D-30. | JPMC HC 0001882 - JPMC HC 0001887 | KYC | ** |
| D-31. | JPMC HC 0001888 - JPMC HC 0001892 | KYC | ** |
| D-32. | JPMC HC 0001893 - JPMC HC 0001896 | KYC | ** |
| D-33. | JPMC HC 0001897 - JPMC HC 0001903 | KYC | ** |
| D-34. | JPMC HC 0001904 - JPMC HC 0001908 | KYC | ** |
| D-35. | JPMC HC 0001909 - JPMC HC 0001914 | KYC | ** |
| D-36. | JPMC HC 0001915 - JPMC HC 0001917 | KYC | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|--|------------------------------|--|
| D-37. | JPMC HC 0001918 - JPMC HC 0001923 | KYC | ** |
| D-38. | JPMC HC 0002936 - JPMC HC 0002938 | File | * |
| D-39. | JPMC HC 0002945 - JPMC HC 0002949 | File | * |
| D-40. | JPMC HC 0002950 - JPMC HC 0002952 | Relationship Review | * |
| D-41. | JPMC HC 0002959 - JPMC HC 0002963 | Business Case Exception Form | ** |
| D-42. | JPMC HC 0002964 - JPMC HC 0002968 | File | * |
| D-43. | JPMC HC 0002975 - JPMC HC 0003028 | Files | * |
| D-44. | JPMC HC 0003029 - JPMC HC 0003037 | KYC | ** |
| D-45. | JPMC HC 0003038 - JPMC HC 0003047 | KYC | ** |
| D-46. | JPMC HC2 0000026 - JPMC HC2 0000031 | KYC | * |
| D-47. | JPMC HC2 0000037 - JPMC HC2 0000041 | KYC | ** |
| D-48. | JPMC HC2 0000046 - JPMC HC2 0000048 | KYC | * |
| D-49. | JPMC HC2 0000055 - JPMC HC2 0000058 | KYC | * |
| D-50. | JPMC HC2 0000062 - JPMC HC2 0000064 | KYC | * |
| D-51. | JPMC HC2 0000065 - JPMC HC2 0000069 | KYC | * |
| D-52. | JPMC HC2 0000070 - JPMC HC2 0000072 | KYC | * |
| D-53. | JPMC HC2 0000073 - JPMC HC2 0000076 | KYC | * |
| D-54. | JPMC HC2 0000077 - JPMC HC2 0000079 | KYC | * |
| D-55. | JPMC HC2 0000080 - JPMC HC2 0000082 | KYC | ** |
| D-56. | JPMC HC2 0000083 - JPMC HC2 0000085 | KYC | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|--|----------------------------|---|
| D-57. | JPMC HC2 0000088 - JPMC HC2 0000091 | KYC | * |
| D-58. | JPMC HC2 0000092 - JPMC HC2 0000095 | KYC | * |
| D-59. | JPMC HC2 0000096 - JPMC HC2 0000100 | KYC | * |
| D-60. | JPMC HC2 0000104 - JPMC HC2 0000106 | KYC | ** |
| D-61. | JPMC HC2 0000107 - JPMC HC2 0000110 | KYC | * |
| D-62. | JPMC HC2 0000111 - JPMC HC2 0000113 | KYC | * |
| D-63. | JPMC HC2 0000114 - JPMC HC2 0000116 | KYC | * |
| D-64. | JPMC HC2 0000117 - JPMC HC2 0000120 | File | * |
| D-65. | JPMC HC2 0000121 - JPMC HC2 0000145 | File | * |
| D-66. | JPMC HC2 0000164 - JPMC HC2 0000165 | KYC | * |
| D-67. | JPMC HC2 0000167 - JPMC HC2 0000168 | KYC | * |
| D-68. | JPMC HC2 0000169 | Email dated March 1, 2009 | ** |
| D-69. | JPMC HC2 0000179 - JPMC HC2 0000180 | Notes dated April 13, 2009 | ** |
| D-70. | JPMC HC2 0000181 | Notes dated April 23, 2009 | ** |
| D-71. | JPMC HC2 0000184 - JPMC HC2 0000185 | Notes dated April 30, 2009 | ** |
| D-72. | JPMC HC2 0000187 | Notes | * |
| D-73. | JPMC HC2 0000188 | Notes | * |
| D-74. | JPMC HC2 0000189 | Notes | * |
| D-75. | JPMC HC2 0000190 | Email dated July 23, 2009 | ** |
| D-76. | JPMC HC2 0000191 | Notes | * |
| D-77. | JPMC HC2 0000195 - JPMC HC2 0000216 | File | * |
| D-78. | JPMC HC2 0000217 - JPMC HC2 0000218 | Notes | * |
| D-79. | JPMC HC2 0000219 - JPMC HC2 0000220 | Notes | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|--|--|--|
| D-80. | JPMC HC2 0000269 - JPMC HC2 0000288 | Spreadsheet | ** |
| D-81. | JPMC HC2 0000374 - JPMC HC2 0000377 | KYC | ** |
| D-82. | JPMC HC2 0000378 - JPMC HC2 0000380 | KYC | * |
| D-83. | JPMC HC2 0000533 - JPMC HC2 0000539 | KYC | ** |
| D-84. | JPMC HC2 0000546 - JPMC HC2 0000552 | KYC | * |
| D-85. | JPMC HC3 000488 - JPMC HC3 000490 | Relationship Review | * |
| D-86. | JPMC HC3 000496 | Profile | * |
| D-87. | JPMC HC3 000497 - JPMC HC3 000510 | KYC | * |
| D-88. | JPMC-00000001 - JPMC-00000002 | Email dated August 3, 2009 and attachment | * |
| D-89. | JPMC-00000010 - JPMC-00000011 | Email dated July 29, 2009 | * |
| D-90. | JPMC-00000018 - JPMC-00000021 | Email dated August 3, 2009 | * |
| D-91. | JPMC-00000027 - JPMC-00000031 | Email dated July 30, 2009 | * |
| D-92. | JPMC-00000032 - JPMC-00000037 | Email dated August 4, 2009 | * |
| D-93. | JPMC-00000044 - JPMC-00000048 | Email dated July 14, 2009 and attachment | * |
| D-94. | JPMC-00000245 - JPMC-00000247 | Email dated April 21, 2009 and attachment | ** |
| D-95. | JPMC-00000251 - JPMC-00000252 | Email dated April 21, 2009 | ** |
| D-96. | JPMC-00000254 | Email dated April 8, 2009 | ** |
| D-97. | JPMC-00000255 | Email dated April 7, 2009 | ** |
| D-98. | JPMC-00000524 | Meeting Invite dated March 31, 2009 | ** |
| D-99. | JPMC-00000545 - JPMC-00000546 | Email dated April 8, 2009 | ** |
| D-100. | JPMC-00006651 - JPMC-00006660 | Email dated April 7, 2009 and attachment | ** |
| D-101. | JPMC-00000701 - JPMC-00000706 | Email dated April 8, 2009 and attachments | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|-------------------------------|---|--|
| D-102. | JPMC-00000710 | Email dated July 31, 2009 | ** |
| D-103. | JPMC-00000712 - JPMC-00000714 | Email dated April 22, 2009 and attachment | ** |
| D-104. | JPMC-00000963 | Email dated May 16, 2009 | ** |
| D-105. | JPMC-00000965 - JPMC-00000966 | Email dated April 8, 2009 and attachment | ** |
| D-106. | JPMC-00000967 - JPMC-00001030 | Email dated May 4, 2009 and attachment | ** |
| D-107. | JPMC-00001033 | Meeting invite dated July 5, 2009 | ** |
| D-108. | JPMC-00001042 - JPMC-00001104 | Email dated May 1, 2009 and attachment | ** |
| D-109. | JPMC-00001105 - JPMC-00001107 | Email dated April 22, 2009 and attachment | ** |
| D-110. | JPMC-00001116 - JPMC-00001125 | Email dated April 7, 2009 | ** |
| D-111. | JPMC-00001139 - JPMC-00001144 | Email dated May 4, 2009 | ** |
| D-112. | JPMC-00001146 | Meeting invite | ** |
| D-113. | JPMC-00001337 | Email dated July 29, 2009 | ** |
| D-114. | JPMC-00001338 - JPMC-00001340 | Email dated July 28, 2009 and attachments | ** |
| D-115. | JPMC-00001341 - JPMC-00001344 | Email dated July 21, 2009 and attachments | ** |
| D-116. | JPMC-00001345 - JPMC-00001347 | Email dated July 10, 2009 | * |
| D-117. | JPMC-00001348 - JPMC-00001351 | Email dated July 10, 2009 and attachments | ** |
| D-118. | JPMC-00001376 | Email dated May 5, 2009 | ** |
| D-119. | JPMC-00002183 | Meeting invite dated May 5, 2009 | ** |
| D-120. | JPMC-00002239 | Email dated May 4, 2009 | ** |
| D-121. | JPMC-00002252 - JPMC-00002254 | Email dated April 24, 2009 and attachment | * |
| D-122. | JPMC-00002273 - JPMC-00002274 | Email dated April 6, 2009 | * |
| D-123. | JPMC-00002276 - JPMC-00002278 | Email dated March 23, 2009 and attachment | * |
| D-124. | JPMC-00002281 | Email dated July 31, 2009 | ** |
| D-125. | JPMC-00002287 | Email dated September 29, 2008 | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|-------------------------------|--|--|
| D-126. | JPMC-00002327 - JPMC-00002328 | Email dated July 10, 2008 | * |
| D-127. | JPMC-00002379 | Email dated April 3, 2009 | * |
| D-128. | JPMC-00002506 | Email dated July 22, 2009 | ** |
| D-129. | JPMC-00002548 - JPMC-00002550 | Email dated July 27, 2009 | ** |
| D-130. | JPMC-00002552 - JPMC-00002554 | Email dated July 24, 2009 | ** |
| D-131. | JPMC-00002564 | Email dated April 8, 2009 | ** |
| D-132. | JPMC-00002565 - JPMC-00002566 | Email dated April 8, 2009 and attachment | ** |
| D-133. | JPMC-00002601 - JPMC-00002603 | Email dated August 5, 2009 | * |
| D-134. | JPMC-00002607- JPMC-00002608 | Email dated August 4, 2009 | * |
| D-135. | JPMC-00002611 | Email dated August 4, 2009 | ** |
| D-136. | JPMC-00002614- JPMC-00002618 | Email dated August 3, 2009 | * |
| D-137. | JPMC-00002666 - JPMC-00002667 | Email dated July 31, 2009 | * |
| D-138. | JPMC-00002704 | Email dated July 28, 2009 | ** |
| D-139. | JPMC-00002716 | Email dated July 26, 2009 | ** |
| D-140. | JPMC-00002723 | Email dated July 24, 2009 | ** |
| D-141. | JPMC-00002760- JPMC-00002761 | Email dated July 14, 2009 | * |
| D-142. | JPMC-00002800 | Meeting invite | ** |
| D-143. | JPMC-00002839 | Email dated July 1, 2009 | * |
| D-144. | JPMC-00002840 - JPMC-00002841 | Email dated July 1, 2009 | * |
| D-145. | JPMC-00002842 | Email dated July 1, 2009 | ** |
| D-146. | JPMC-00002854- JPMC-00002855 | Email dated July 1, 2009 | * |
| D-147. | JPMC-00002859 - JPMC-00002861 | Email dated June 30, 2009 | * |
| D-148. | JPMC-00002895 | Email dated June 29, 2009 | * |
| D-149. | JPMC-00002896 | Email dated June 29, 2009 | * |
| D-150. | JPMC-00002897 - JPMC-00002898 | Email dated June 29, 2009 | ** |
| D-151. | JPMC-00002911 | Email dated June 26, 2009 | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|-------------------------------|---|--|
| D-152. | JPMC-00002915 | Email dated June 26, 2009 | * |
| D-153. | JPMC-00002917 - JPMC-00002919 | Email dated June 26, 2009 | * |
| D-154. | JPMC-00002920 - JPMC-00002921 | Email dated June 26, 2009 | * |
| D-155. | JPMC-00002922 | Email dated June 26, 2009 | * |
| D-156. | JPMC-00002923 | Email dated June 26, 2009 | * |
| D-157. | JPMC-00002924 - JPMC-00002956 | Email dated June 24, 2009 and attachments | * |
| D-158. | JPMC-00002990 - JPMC-00002992 | Email dated June 24, 2009 and attachment | * |
| D-159. | JPMC-00003003 - JPMC-00003004 | Email dated June 17, 2009 | * |
| D-160. | JPMC-00003012 - JPMC-00003013 | Email dated June 15, 2009 | * |
| D-161. | JPMC-00003018 | Email dated June 11, 2009 | ** |
| D-162. | JPMC-00003020 | Email dated June 11, 2009 | ** |
| D-163. | JPMC-00003022 | Email dated June 11, 2009 | ** |
| D-164. | JPMC-00003023 | Email dated June 11, 2009 | ** |
| D-165. | JPMC-00003043 - JPMC-00003049 | Email dated September 5, 2008 | * |
| D-166. | JPMC-00003136 - JPMC-00003137 | Email dated September 4, 2008 | ** |
| D-167. | JPMC-00003218 - JPMC-00003219 | Email dated August 13, 2008 | * |
| D-168. | JPMC-00003220 | Email dated August 13, 2008 | * |
| D-169. | JPMC-00003813 - JPMC-00003817 | Email dated June 5, 2008 and attachment | * |
| D-170. | JPMC-00003881 - JPMC-00003883 | Email dated May 23, 2008 | * |
| D-171. | JPMC-00003886 | Email dated May 22, 2008 | * |
| D-172. | JPMC-00003889 - JPMC-00003893 | Email dated May 22, 2008 | * |
| D-173. | JPMC-00003894 | Email dated May 22, 2008 | * |
| D-174. | JPMC-00003899 - JPMC-00003931 | Email dated May 21, 2008 and attachment | * |
| D-175. | JPMC-00004009 - JPMC-00004014 | Email dated May 20, 2008 and attachment | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|------------------------------------|--|---|
| D-176. | JPMC-00004009 - JPMC-00004014 | Email dated May 20, 2008 and attachment | * |
| D-177. | JPMC-00004500 - JPMC-00004553 | Email dated April 14, 2008 and attachment | * |
| D-178. | JPMC-00005933 | Email dated May 22, 2009 | ** |
| D-179. | JPMC-00005973 | Email dated April 27, 2009 | ** |
| D-180. | JPMC-00005974 | Email dated April 27, 2009 | * |
| D-181. | JPMC-00005975 | Email dated April 27, 2009 | ** |
| D-182. | JPMC-00006077 | Email dated March 24, 2009 | ** |
| D-183. | JPMC-00006320 - JPMC-00006321 | Email dated May 22, 2009 | ** |
| D-184. | JPMC-00006402 | Email dated May 4, 2009 | ** |
| D-185. | JPMC-00006583 | Email dated April 27, 2009 | ** |
| D-186. | JPMC-00006591 - JPMC-00006593 | Email dated April 22, 2009 | ** |
| D-187. | JPMC-00006599 | Email dated April 20, 2009 | ** |
| D-188. | JPMC-00006612 - JPMC-00006620 | Email dated April 7, 2009 | ** |
| D-189. | JPMC-00006681 | Email dated April 6, 2009 | ** |
| D-190. | JPMC-00006686 | Email dated March 31, 2009 | ** |
| D-191. | JPMC-00006986 | Email dated June 8, 2009 | ** |
| D-192. | JPMC-00007016 | Email dated June 2, 2009 | * |
| D-193. | JPMC-00007192 - JPMC-00007194 | Email dated April 21, 2009 | ** |
| D-194. | JPMC-00007197 | Email dated April 20, 2009 | ** |
| D-195. | JPMC-00007198 | Email dated April 20, 2009 | ** |
| D-196. | JPMC-00007221 - JPMC-00007229 | Email dated April 7, 2009 and attachment | ** |
| D-197. | JPMC-00007240 - JPMC-00007247 | Email dated April 3, 2009 | ** |
| D-198. | JPMC-00007423 | Email dated April 30, 2009 | ** |
| D-199. | JPMC-00007450 | Email dated April 22, 2009 | * |
| D-200. | JPMC-00005980 | Email dated April 6, 2009 | ** |
| D-201. | JPMC2-00000019 - JPMC2-00000021 | Email dated July 29, 2009 | * |
| D-202. | JPMC2-00000044 | Email dated August 26, 2009 | ** |
| D-203. | JPMC2-00000045 - JPMC2-00000046 | Email dated August 14, 2009 and attachment | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|---|--|
| D-204. | JPMC2-00000196 - JPMC2-00000205 | Email dated March 6, 2009 and attachment | ** |
| D-205. | JPMC2-00000206 - JPMC2-00000209 | Email dated March 9, 2009 | ** |
| D-206. | JPMC2-00000218 | Email dated March 25, 2009 | ** |
| D-207. | JPMC2-00000243 - JPMC2-00000244 | Email dated January 23, 2009 | ** |
| D-208. | JPMC2-00000452 - JPMC2-00000453 | Email dated March 24, 2009 | ** |
| D-209. | JPMC2-00000463 | Email dated February 25, 2009 | ** |
| D-210. | JPMC2-00000490 - JPMC2-00000493 | Email dated March 21, 2009 | ** |
| D-211. | JPMC2-00000516 - JPMC2-00000519 | Email dated March 25, 2009 | ** |
| D-212. | JPMC2-00000550 - JPMC2-00000551 | Email dated December 10, 2009 | * |
| D-213. | JPMC2-00000552 - JPMC2-00000553 | Email dated August 6, 2009 | * |
| D-214. | JPMC2-00000554 | Email dated August 4, 2009 | * |
| D-215. | JPMC2-00000715 - JPMC2-00000778 | Email dated May 4, 2009 and attachment | ** |
| D-216. | JPMC2-00002642 - JPMC2-00002662 | Email dated June 26, 2009 and attachments | ** |
| D-217. | JPMC2-00002682 | Email dated March 10, 2009 | * |
| D-218. | JPMC2-00002685 | Email dated July 21, 2009 | ** |
| D-219. | JPMC2-00002686 - JPMC2-00002736 | Email dated July 3, 2009 and attachment | ** |
| D-220. | JPMC2-00002758 - JPMC2-00002796 | Email dated June 28, 2009 and attachment | * |
| D-221. | JPMC2-00004070 - JPMC2-00004071 | Email dated December 5, 2008 and attachment | ** |
| D-222. | JPMC2-00042740 - JPMC2-00042744 | Email dated December 17, 2008 | ** |
| D-223. | JPMC2-00064599 - JPMC2-00064604 | Email dated February 24, 2010 | * |
| D-224. | JPMC2-00006856 - JPMC2-00006860 | Email dated May 11, 2009 and attachment | ** |
| D-225. | JPMC2-00007700 - JPMC2-00007708 | Email dated May 27, 2010 and attachment | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|------------------------------------|---|--|
| D-226. | JPMC2-00007729 - JPMC2-00007787 | Email dated January 17, 2010 and attachments | * |
| D-227. | JPMC2-00007788 - JPMC2-00007793 | Email dated January 15, 2010 | * |
| D-228. | JPMC2-00007795 - JPMC2-00007819 | Email dated January 10, 2010 and attachment | * |
| D-229. | JPMC2-00007820 - JPMC2-00007841 | Email dated December 20, 2009 and attachment | * |
| D-230. | JPMC2-00007842 | Email dated December 20, 2009 | ** |
| D-231. | JPMC2-00007843 | Email dated December 20, 2009 | * |
| D-232. | JPMC2-00007844 - JPMC2-00007846 | Email dated December 20, 2009 | * |
| D-233. | JPMC2-00007867 | Email dated December 3, 2009 | * |
| D-234. | JPMC2-00007900 - JPMC2-00007903 | Email dated March 30, 2009 | ** |
| D-235. | JPMC2-00007930 - JPMC2-00007937 | Email dated April 2, 2009 | ** |
| D-236. | JPMC2-00008312 - JPMC2-00008320 | Email dated March 24, 2009 and attachment | ** |
| D-237. | JPMC2-00009303 - JPMC2-00009307 | Email dated April 8, 2009 and attachment | ** |
| D-238. | JPMC2-00009308 - JPMC2-00009312 | Email dated April 8, 2009 and attachment | ** |
| D-239. | JPMC2-00009811 - JPMC2-00009818 | Email dated January 23, 2009 plus attachments | ** |
| D-240. | JPMC2-00009950 - JPMC2-00009954 | Email dated December 17, 2008 plus attachment | ** |
| D-241. | JPMC2-00010859 - JPMC2-00010872 | Email dated April 8, 2009 and attachment | ** |
| D-242. | JPMC2-00010880 - JPMC2-00010886 | Email dated April 1, 2009 | ** |
| D-243. | JPMC2-00010887 - JPMC2-00010890 | Email dated April 3, 2009 | ** |
| D-244. | JPMC2-00010896 - JPMC2-00010907 | Email dated April 22, 2009 and attachments | ** |
| D-245. | JPMC2-00010908 - JPMC2-00010909 | Email dated April 8, 2009 and attachment | ** |
| D-246. | JPMC2-00010928 - JPMC2-00010936 | Email dated April 2, 2009 | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|--|--|
| D-247. | JPMC2-00010951 - JPMC2-00010954 | Email dated March 23, 2009 | ** |
| D-248. | JPMC2-00010956 - JPMC2-00010963 | Email dated March 26, 2009 | ** |
| D-249. | JPMC2-00011970 | Email dated February 12, 2009 | * |
| D-250. | JPMC2-00012375 - JPMC2-00012383 | Email dated April 8, 2009 and attachment | ** |
| D-251. | JPMC2-00012384 - JPMC2-00012449 | Email dated April 7, 2009 and attachment | ** |
| D-252. | JPMC2-00012450 - JPMC2-00012490 | Email dated April 7, 2009 and attachment | ** |
| D-253. | JPMC2-00012494 - JPMC2-00012500 | Email dated March 26, 2009 | ** |
| D-254. | JPMC2-00012537 - JPMC2-00012545 | Email dated April 8, 2009 and attachment | ** |
| D-255. | JPMC2-00012723 - JPMC2-00012728 | Email dated March 4, 2009 and attachments | ** |
| D-256. | JPMC2-00012785 | Email dated April 6, 2009 | ** |
| D-257. | JPMC2-00012802 - JPMC2-00012808 | Email dated March 4, 2009 and attachment | ** |
| D-258. | JPMC2-00012809 - JPMC2-00012816 | Email dated March 4, 2009 and attachment | ** |
| D-259. | JPMC2-00012830 | Email dated December 19, 2008 | * |
| D-260. | JPMC2-00012831 - JPMC2-00012835 | Email dated December 17, 2008 | ** |
| D-261. | JPMC2-00030731 | Email dated February 6, 2009 | ** |
| D-262. | JPMC2-00030889 - JPMC2-00030890 | Email dated March 13, 2009 | ** |
| D-263. | JPMC2-00030891 - JPMC2-00030892 | Email dated March 13, 2009 | ** |
| D-264. | JPMC2-00030946 - JPMC2-00030967 | Email dated December 17, 2008 plus attachments | ** |
| D-265. | JPMC2-00036394 | Emailed dated December 19, 2008 | * |
| D-266. | JPMC2-00036401 - JPMC2-00036403 | Email dated March 4, 2009 | ** |
| D-267. | JPMC2-00036579 - JPMC2-00036585 | Email dated March 4, 2009 and attachment | ** |
| D-268. | JPMC2-00036724 | Email dated January 18, 2009 | ** |
| D-269. | JPMC2-00037199 | Meeting invite dated April 7, 2009 | ** |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|--|--|
| D-270. | JPMC2-00037207 | Meeting invite dated January 28, 2009 | ** |
| D-271. | JPMC2-00037208 - JPMC2-00037209 | Email dated January 27, 2009 | ** |
| D-272. | JPMC2-00037210 - JPMC2-00037217 | Meeting invite dated January 22, 2009 plus attachments | ** |
| D-273. | JPMC2-00042749 - JPMC2-00042755 | Email dated December 17, 2008 plus attachments | ** |
| D-274. | JPMC2-00043077 | Email dated May 4, 2009 | ** |
| D-275. | JPMC2-00043078 - JPMC2-00043082 | Email dated May 15, 2009 and attachment | ** |
| D-276. | JPMC2-00043094 - JPMC2-00043100 | Email dated March 4, 2009 and attachment | ** |
| D-277. | JPMC2-00043103 - JPMC2-00043104 | Email dated March 4, 2009 | ** |
| D-278. | JPMC2-00064605 - JPMC2-00064606 | Email dated March 16, 2010 | * |
| D-279. | JPMC2-00064607 - JPMC2-00064628 | Email dated September 25, 2009 and attachment | * |
| D-280. | JPMC2-00064629 - JPMC2-00064693 | Email dated July 7, 2009 and attachment | ** |
| D-281. | JPMC2-00064694 - JPMC2-00064699 | Email dated February 8, 2010 | * |
| D-282. | JPMC2-00064700 - JPMC2-00064701 | Email dated February 8, 2010 | * |
| D-283. | JPMC2-00064702 - JPMC2-00064703 | Email dated January 29, 2010 | * |
| D-284. | JPMC2-00064704 - JPMC2-00064705 | Email dated January 22, 2010 | * |
| D-285. | JPMC2-00064706 - JPMC2-00064711 | Email dated January 13, 2010 | ** |
| D-286. | JPMC2-00064723 - JPMC2-00064727 | Email dated January 8, 2010 | * |
| D-287. | JPMC2-00064731 | Email dated July 21, 2009 | ** |
| D-288. | JPMC2-00064734 - JPMC2-00064789 | Email dated July 31, 2009 and attachment | * |
| D-289. | JPMC2-00071388 | Email dated June 20, 2008 | * |
| D-290. | JPMC2-00072123 | Email dated September 28, 2009 | * |
| D-291. | JPMC2-00072124 | Email dated September 17, 2009 | * |
| D-292. | JPMC2-00072131 | Email dated January 28, 2010 | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|---|--|
| D-293. | JPMC2-00072140 - JPMC2-00072141 | Email dated December 7, 2009 | * |
| D-294. | JPMC2-00072148 - JPMC2-00072149 | Email dated November 20, 2009 | * |
| D-295. | JPMC2-00072150 - JPMC2-00072157 | Email dated November 19, 2009 and attachments | * |
| D-296. | JPMC2-00072158 - JPMC2-00072159 | Email dated November 18, 2009 | * |
| D-297. | JPMC2-00072161 - JPMC2-00072168 | Email dated November 8, 2009 and attachments | * |
| D-298. | JPMC2-00072169 - JPMC2-00072170 | Email dated November 3, 2009 | * |
| D-299. | JPMC2-00072181 | Email dated October 2, 2009 | * |
| D-300. | JPMC2-00072182 - JPMC2-00072183 | Email dated October 2, 2009 | * |
| D-301. | JPMC2-00072190 | Email dated September 30, 2009 | * |
| D-302. | JPMC2-00072194 | Email dated September 29, 2009 | * |
| D-303. | JPMC2-00072196 | Email dated September 17, 2009 | ** |
| D-304. | JPMC2-00072197 | Email dated September 17, 2009 | * |
| D-305. | JPMC2-00072199 | Meeting invited dated September 15, 2009 | * |
| D-306. | JPMC2-00072201 - JPMC2-00072203 | Email dated September 2, 2009 | * |
| D-307. | JPMC2-00072204 | Meeting invite dated August 26, 2009 | * |
| D-308. | JPMC2-00083663 - JPMC2-00083700 | Email dated April 18, 2008 and attachment | ** |
| D-309. | JPMC2-00087589 | Email dated May 4, 2009 | * |
| D-310. | JPMC2-00087596 - JPMC2-00087598 | Email dated April 29, 2009 and attachments | * |
| D-311. | JPMC2-00087599 - JPMC2-00087602 | Email dated April 29, 2009 and attachments | * |
| D-312. | JPMC2-00087611 | Email dated April 24, 2009 | * |
| D-313. | JPMC2-00087625 | Email dated April 8, 2009 | ** |
| D-314. | JPMC2-00087631 - JPMC2-00087634 | Email dated March 30, 2009 | * |
| D-315. | JPMC2-00087747 - JPMC2-00087752 | Email dated March 1, 2009 and attachments | ** |
| D-316. | JPMC2-00087766 | Email dated February 5, 2010 | * |
| D-317. | JPMC2-00087772 | Email dated October 27, 2009 | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|---|--|
| D-318. | JPMC2-00087793 | Email dated October 7, 2009 | * |
| D-319. | JPMC2-00087795 - JPMC2-00087798 | Email dated October 2, 2009 and attachment | ** |
| D-320. | JPMC2-00087799 - JPMC2-00087802 | Email dated October 2, 2009 and attachment | * |
| D-321. | JPMC2-00087803 | Email dated October 2, 2009 | * |
| D-322. | JPMC2-00087805 | Email dated October 1, 2009 | * |
| D-323. | JPMC2-00087808 | Email dated September 30, 2009 | * |
| D-324. | JPMC2-00087812 | Email dated September 1, 2009 | * |
| D-325. | JPMC2-00087813 - JPMC2-00087815 | Email dated August 26, 2009 and attachments | * |
| D-326. | JPMC2-00087870 - JPMC2-00087872 | Email dated October 9, 2009 | * |
| D-327. | JPMC2-00087876 | Email dated September 30, 2009 | * |
| D-328. | JPMC2-00087877 - JPMC2-00087879 | Email dated September 25, 2009 | * |
| D-329. | JPMC2-00087881 | Email dated September 11, 2009 | * |
| D-330. | JPMC2-00087882 - JPMC2-00087884 | Email dated September 2, 2009 | * |
| D-331. | JPMC2-00087887 | Email dated August 27, 2009 | * |
| D-332. | JPMC2-00087890 | Email dated August 25, 2009 | * |
| D-333. | JPMC2-00087892 | Email dated August 6, 2009 | * |
| D-334. | JPMC2-00087894 - JPMC2-00087929 | Email dated June 26, 2009 and attachment | ** |
| D-335. | JPMC2-00087933 - JPMC2-00087934 | Email dated December 2, 2009 | * |
| D-336. | JPMC2-00087946 - JPMC2-00087947 | Email dated October 2, 2009 | * |
| D-337. | JPMC2-00087951 | Email dated October 1, 2009 | * |
| D-338. | JPMC2-00087959 | Email dated September 1, 2009 | * |
| D-339. | JPMC2-00087962 - JPMC2-00087963 | Email dated June 30, 2009 | * |
| D-340. | JPMC2-00088154 - JPMC2-00088244 | Email dated May 25, 2010 and attachments | * |
| D-341. | JPMC2-00088246 | Email dated November 23, 2009 | * |
| D-342. | JPMC2-00088248 | Email dated October 27, 2009 | * |
| D-343. | JPMC2-00088261 | Email dated August 17, 2009 | * |
| D-344. | JPMC2-00088262 | Email dated July 29, 2009 | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|--|--|
| D-345. | JPMC2-00088328 - JPMC2-00088340 | Email dated October 27, 2009 and attachments | * |
| D-346. | JPMC2-00088354 - JPMC2-00088355 | Email dated August 12, 2009 and attachment | * |
| D-347. | JPMC2-00088399 | Email dated September 16, 2009 | ** |
| D-348. | JPMC2-00088412 - JPMC2-00088415 | Email dated August 7, 2009 and attachments | * |
| D-349. | JPMC2-00088467 | Email dated October 14, 2009 | * |
| D-350. | JPMC2-00088473 - JPMC2-00088475 | Email dated October 1, 2009 and attachment | ** |
| D-351. | JPMC2-00088477 | Email dated August 26, 2009 | * |
| D-352. | JPMC2-00088529 - JPMC2-00088532 | Email dated August 18, 2009 and attachments | * |
| D-353. | JPMC2-00088653 | Email dated November 20, 2009 | * |
| D-354. | JPMC2-00088654 - JPMC2-00088659 | Email dated November 6, 2009 and attachment | * |
| D-355. | JPMC2-00088660 | Email dated November 6, 2009 | * |
| D-356. | JPMC2-00088689 - JPMC2-00088690 | Email dated September 18, 2009 | * |
| D-357. | JPMC2-00088710 - JPMC2-00088714 | Email dated November 4, 2009 and attachments | * |
| D-358. | JPMC2-00088727 - JPMC2-00088732 | Email dated October 16, 2009 | * |
| D-359. | JPMC2-00088777 - JPMC2-00088778 | Email dated January 28, 2010 | * |
| D-360. | JPMC2-00088779 - JPMC2-00088780 | Email dated November 20, 2009 | * |
| D-361. | JPMC2-00088781 - JPMC2-00088786 | Email dated November 19, 2009 and attachment | * |
| D-362. | JPMC2-00088790 - JPMC2-00088795 | Email dated November 6, 2009 and attachment | * |
| D-363. | JPMC2-00088922 | Email dated October 9, 2009 | * |
| D-364. | JPMC2-00088923 | Email dated October 1, 2009 | ** |
| D-365. | JPMC2-00088924 | Email dated September 11, 2009 | * |
| D-366. | JPMC2-00088980 - JPMC2-00088981 | Email dated October 22, 2009 | * |
| D-367. | JPMC2-00089002 - JPMC2-00089011 | Email dated October 9, 2009 and attachments | * |
| D-368. | JPMC2-00089012 | Email dated September 8, 2009 | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|--|--|
| D-369. | JPMC2-00089059 - JPMC2-00089065 | Email dated November 9, 2009 and attachment | * |
| D-370. | JPMC2-00089083 - JPMC2-00089084 | Email dated October 20, 2009 and attachment | * |
| D-371. | JPMC2-00089085 - JPMC2-00089089 | Email dated October 5, 2009 and attachment | * |
| D-372. | JPMC2-00089093 - JPMC2-00089094 | Email dated September 29, 2009 | * |
| D-373. | JPMC2-00089120 - JPMC2-00089196 | Email dated November 2, 2009 and attachments | * |
| D-374. | JPMC2-00089228- JPMC2-00089229 | Email dated January 28, 2010 | * |
| D-375. | JPMC2-00089242 | Email dated November 6, 2009 | * |
| D-376. | JPMC2-00089245 - JPMC2-00089313 | Email dated October 27, 2009 and attachments | * |
| D-377. | JPMC2-00089362 - JPMC2-00089367 | Email dated October 16, 2009 | * |
| D-378. | JPMC2-00089374 - JPMC2-00089376 | Email dated September 25, 2009 | * |
| D-379. | JPMC2-00089377 | Email dated September 14, 2009 | * |
| D-380. | JPMC2-00089378 | Email dated September 8, 2009 | * |
| D-381. | JPMC2-00089379 | Email dated August 27, 2009 | * |
| D-382. | JPMC2-00089389 - JPMC2-00089391 | Email dated April 29, 2009 | ** |
| D-383. | JPMC2-00089395 - JPMC2-00089406 | Email dated April 8, 2009 and attachments | ** |
| D-384. | JPMC2-00089464 - JPMC2-00089466 | Email dated January 27, 2009 | ** |
| D-385. | JPMC2-00089482 - JPMC2-00089488 | Email dated April 1, 2009 and attachment | ** |
| D-386. | JPMC2-00089493 - JPMC2-00089495 | Email dated March 26, 2009 | ** |
| D-387. | JPMC2-00090095 - JPMC2-00090097 | Relationship Review | * |
| D-388. | JPMC2-00090113 - JPMC2-00090129 | Email dated July 15, 2010 and attachments | * |
| D-389. | JPMC2-00090130 - JPMC2-00090138 | HALO Case Summary | ** |
| D-390. | JPMC2-00090139 - JPMC2-00090296 | Email dated May 27, 2010 and attachments | * |

| Exhibit Letter | Bates Range | Description | No Authenticity Objection (*) No Objection (**)² |
|-----------------------|---------------------------------|---|--|
| D-391. | JPMC2-00090319 - JPMC2-00090325 | Email dated May 25, 2010 and attachments | ** |
| D-392. | JPMC2-00090594 | Email dated July 15, 2010 | ** |
| D-393. | JS 0013 - JS 0043 | Code of Conduct | * |
| D-394. | JS 004 - JS006 | Review Information | ** |
| D-395. | JS 0045 - JS 046 | Checks | * |
| D-396. | JS 0047 - JS 0048 | Notes | ** |
| D-397. | JS 0049 - JS 0051 | Email dated July 27, 2009 and attachment | * |
| D-398. | JS 0052 - JS 0057 | Emails and notes | * |
| D-399. | JS 0067 - JS 0080 | Spreadsheets | * |
| D-400. | JS 0081 - JS 0088 | Notes | * |
| D-401. | JS 0239 - JS 0240 | Resume | * |
| D-402. | JS 0241 - JS 0242 | Resume | * |
| D-403. | JS 0243 | Itinerary | * |
| D-404. | JS 0244 - JS 0298 | Notes | * |
| D-405. | JS 0299 | Email dated October 13, 2010 | * |
| D-406. | JS 0300 - JS 0301 | Email dated October 7, 2010 | * |
| D-407. | JS 0302 | Email dated September 17, 2009 | * |
| D-408. | JS 0303 - JS 0304 | Email dated September 8, 2009 | * |
| D-409. | JS 0305 | Email dated September 2, 2009 | * |
| D-410. | JS 0306 - JS 0307 | Email dated October 16, 2009 | * |
| D-411. | JS 0308 | Email dated November 11, 2009 | * |
| D-412. | JS 0309 | Email dated December 2, 2009 | * |
| D-413. | JS 0310 | Email dated October 14, 2009 | * |
| D-414. | JS 0311 | Email dated November 30, 2009 | * |
| D-415. | JS 0312 | Email dated December 2, 2009 | * |
| D-416. | JS 0313 - JS 0314 | Email dated March 16, 2010 and attachment | * |
| D-417. | JS 0315 - JS 0319 | Email dated October 16, 2009 | * |
| D-418. | JS 0320 - JS 0323 | Email dated September 29, 2009 | * |
| D-419. | JS 0526 - JS 0532 | Print-Out | ** |

To the extent all members of a document family are not listed above, Defendants reserve the right to offer into evidence any other members of the document family if not included in the above Bates range.

Defendants reserve the right to offer into evidence any and all exhibits listed by Plaintiff. Defendants also reserve the right to supplement this exhibit list with any documents still to be produced. Defendants reserve the right to use unlisted exhibits for purposes of impeachment or rebuttal or any other purpose permitted by the Federal Rules of Evidence. Defendants also reserve the right to amend and/or supplement this JPTO consistent with the Federal Rules of Civil Procedure, Local Civil Rules for the Southern and Eastern District of New York and/or Individual Rules of the Honorable Robert W. Sweet, or as otherwise appropriate and/or necessary.

Defendants reserve the right to object to the admissibility of any of Plaintiff's exhibits at trial depending on the basis on which and/or purpose for which Plaintiff seeks to use any listed exhibit. In addition, as indicated above, Defendants do not object to the authenticity of any of Plaintiff's exhibits in that Defendant does not claim that any of Plaintiff's exhibits are fabricated or fraudulent, based on what Defendants know at the time of submission of the JPTO. Defendants reserve the right to object to the introduction of any exhibit through a witness in contravention of the Federal Rules of Evidence.

Dated: December 16, 2016
New York, New York

Respectfully submitted,

WIGDOR LLP

By: 

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